

Board of Physical Therapy



Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
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Functional and Organizational Analysis of the Board of Physical Therapy

Sources of Information

- Representatives of the Board of Physical Therapy
 - Kathryn Brown, Executive Director
 - Stephen N. Dodd, Legal Counsel
- Board of Physical Therapy Audit Report (1994-1996)
- Code of Alabama 1975 § 34-24-190 through § 34-24-217
- Alabama Administrative Code Chapters 700-X-1 to 700-X-5
- Alabama Government Manual (1994)

Agency Organization

The Board of Physical Therapy (hereafter cited as “the board”) consists of five members, appointed by the governor from a list of five persons nominated for each place on the board by the current licensees and certified to him by the board. Four members are physical therapists and one member is a physical therapist assistant. Members must be residents of the state and have practiced within the state for the three years preceding appointment. Members serve five-year staggered terms and may serve no more than two consecutive terms. The board selects from its members a chairman, a secretary and a treasurer. The board employs an executive director and one staff member for the administration of the board’s policy. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the board is to ensure that the public is protected from the incompetent practice of physical therapy. It is the board’s duty to pass upon the qualifications of applicants for registration as physical therapists and licensing as physical therapist assistants, to conduct examinations of applicants for licensure, to issue licenses and renewals, and to suspend or revoke the licenses for those practitioners who violate the applicable laws or rules. The board is one of the agencies responsible for performing the Regulatory function of Alabama government.

In the performance of its mandated functions, the board may engage in the following subfunctions:

- **Supervising the Registration of Physical Therapists and Licensure of Physical Therapist Assistants.** The supervision subfunction encompasses the promulgation of rules and regulations and the screening of applicants’ qualifications, in terms of professional training and moral character, for registration or licensure, conducting examinations, and issuing licenses to applicants who pass the examination for registration as physical therapists or licensing as physical therapist assistants. Annual

renewal of both practitioners is accomplished by the payment of a fee and the satisfaction of a continuing education requirement.

- **Investigating Possible Violations and Instituting Disciplinary Proceedings in Appropriate Cases.** The board is obligated, upon the receipt of written complaints alleging any violation of the laws of the state or rules of the board, to investigate the case and collect evidence. If the complaint is substantiated, the board will conduct disciplinary hearings and may either suspend or revoke licenses. Any person whose registration or license has been revoked may apply for reinstatement of the license within two years of the revocation if any changed circumstances would justify reinstatement.
- **Compiling a Directory.** The board is mandated by the Code of Alabama 1975 § 34-24-193 to compile and maintain a directory listing all persons registered or licensed to practice in Alabama as physical therapists or physical therapist assistants. Information on the register includes name of licensee, last known place of business and residence, date of license, and license number. Copies of the register are available to any person upon request and payment of the cost of copying, postage, and handling.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities involved in managing the agency may include internal office management activities such as corresponding and communicating; scheduling; meeting; creating policy and procedures; reporting; litigating; legislating (drafting, lobbying, tracking); publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Board of Physical Therapy

Agency Record Keeping System

The record keeping system of the board consists of paper and electronic records. At this time the agency creates a paper copy of all electronic records. The board currently utilizes two IBM stand-alone personal computers to maintain a database for licensees and to perform routine word processing tasks.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the board: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the board are discussed below:

- **Annual Renewal Application Forms.** All licenses issued by the board to physical therapists and physical therapist assistants are valid for one year and licensees are to renew their licenses by fulfilling the continuing education requirements and paying renewal fee to the board. These forms are kept for fiscal and reference value.
- **Annual Continuing Education Certificates for Renewal.** Successful completion of the annual continuing education course credits is one of the requirements for the renewal of licenses issued to physical therapists/physical therapist assistants. The certificates are retained for a short period of time after renewal for reference purpose.
- **Continuing Education Program Reference Files.** These files are created by the board to document individuals or institutions that offer continuing courses. Typical files may contain schedules of classes, correspondence, and other publications, such as brochures and pamphlets. These files are used by the board staff for reference only. Each licensee is responsible for notifying the board of courses he/she plans to attend by forwarding a copy of the school schedule of classes to the board. The board staff will approve/deny the courses on a case-by-case basis.
- **Physical Therapist Registration Files.** These records are created by the board to document the qualifications of physical therapists registered by the board and ongoing information relative to licensees. All registrants are required to renew their registrations with the board annually. A registrant may, within five years of the expiration date of his/her registration, restore the registration upon application to the board and submission of all fees due plus a restoration fee. These files are maintained for administrative purposes until the registration has lapsed for five years.

- **Physical Therapist Assistant Licensure Files.** These records are created by the board to document the qualifications of physical therapist assistants licensed by the board and ongoing information relative to licensees. All licensees are required to renew their licenses with the board annually. A licensee may, within five years of the expiration date of his/her license, restore the license upon application to the board and submission of all fees due plus a restoration fee. These files are maintained for administrative purpose until the licensee's registration has lapsed for five years.
- **Index Cards of Licensees.** These cards function as a ready reference to the licensees and should be retained as long as the Registration/Licensure Files are maintained.
- **Complaint Files.** These files contain information concerning complaints and the investigations of alleged violations of the Physical Therapy Practice Act and any disciplinary hearings and actions, such as revocation or suspension of licenses, taken by the board.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Supervising the Registration of Physical Therapists and Licensure of Physical Therapist Assistants

- **Meeting Minutes of the Board.** The board members hold an annual meeting in October, at which time regular monthly meetings are scheduled for the following year. The meeting minutes are the core documentation of the board's major functions with regard to regulation and enforcement activities.

Investigating Possible Violations and Instituting Disciplinary Proceedings in Appropriate Cases

Permanent records providing summary documentation of this subfunction are found in the Meeting Minutes of the Board as described in the Supervising the Registration of Physical Therapists and Licensure of Physical Therapist Assistants subfunction.

Compiling a Directory

- **Directory of Physical Therapists/Physical Therapist Assistants Registered or Licensed in the State of Alabama.** The Code of Alabama 1975 § 34-24-193 mandates the board to compile and update an annual list (directory) of physical therapists and physical therapist assistants registered or licensed in this State. Information on the register includes name of licensee, last known place of business and residence, date of license, and license number. The directory documents the membership of this profession at a given time and may be utilized for genealogical research.

Administering Internal Operations

The board currently creates no permanent records under this subfunction.

Permanent Records List Board of Physical Therapy

Supervising the Registration of Physical Therapists and Licensure of Physical Therapist Assistants

1. Meeting Minutes of the Board

Compiling a Directory

1. Directory of Physical Therapists/Physical Therapist Assistants Registered or Licensed in the State of Alabama

Board of Physical Therapy Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Board of Physical Therapy. The RDA lists records created and maintained by the Board of Physical Therapy in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the board to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under the Code of Alabama 1975 § 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Board of Physical Therapy's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back

messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Board of Physical Therapy and lists the groups of records created and/or maintained by the board as a result of activities and transactions performed in carrying out these subfunctions. The board may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Supervising the Registration of Physical Therapists and Licensure of Physical Therapist Assistants

MEETING MINUTES OF THE BOARD

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

Appointments to the Board

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the member's term is expired.

Physical Therapist Registration Files

Disposition: Temporary Record. Retain 5 years after the end of the year in which the registration lapsed.

Physical Therapist Assistant Licensure Files

Disposition: Temporary Record. Retain 5 years after the end of the year in which the license lapsed.

Index Cards of Registrants and Licensees

Disposition: Temporary Record. Retain 5 years after the end of the year in which the license is lapsed.

Annual Renewal Application Forms

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Annual Continuing Education Certificates for Renewal

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Continuing Education Program Reference Files

Disposition: Temporary Record. Retain 1 year or until superseded.

Investigating Possible Violations and Instituting Disciplinary Proceedings in Appropriate Cases**Complaint Files**

Disposition: Temporary Record. Retain 5 years after the end of the year in which the license lapsed.

Compiling a Directory**DIRECTORY OF PHYSICAL THERAPISTS/PHYSICAL THERAPIST ASSISTANTS REGISTERED OR LICENSED IN THE STATE OF ALABAMA**

Disposition: PERMANENT RECORD.

Administering Internal Operations: Managing the Agency**Administrative Procedures Rule Filings**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

REGISTER OF ADMINISTRATIVE PROCEDURES RULE FILINGS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 41-22-6).

Routine Correspondence/Memoranda

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the board's approved RDA (copies of transmittal forms to the Archives and the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copies of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

Computer systems documentation (hardware/ software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the board and all permanent records have been migrated into a new system.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Finances

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$7500

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Human Resources

Job Recruitment Materials

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history – generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting employee disciplinary actions (reprimands, demotions, transfers, terminations, appeals, and administrative hearings)

Disposition: Temporary Record. Retain 3 years following decision.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Employee Flexible Benefits Plan Files

- a. General information

Disposition: Temporary Record. Retain until superseded.

- b. Other (applications, correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

State Employee Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Properties, Facilities, and Resources

SEMIANNUAL INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Facilities/Building Security Records (including visitor logs)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Approval of Records Disposition Authority (RDA)

By signing this agreement, the Board of Physical Therapy acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Board of Physical Therapy will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the board, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in April of each year, and ensuring the regular implementation of the board's approved RDA.
- Permanent records in the Board of Physical Therapy's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The board should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Board of Physical Therapy agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the board and to inspect records destruction documentation. Government Records Division archivists are available to train the staff in RDA implementation and otherwise assist the board in implementing its records management program.

The State Records Commission adopted this revision to the Records Disposition Authority on April 26, 2001.

Edwin C. Bridges, Chairman
State Records Commission

Date

Receipt acknowledged:

Kathryn Brown, Executive Director
Board of Physical Therapy

Date